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Approved for use through 09/30/2000. OMB 0651-0031 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number 09/902,713 Application Number 2 3 2003 RECEIVED **JULY 10, 2001 TRANSMITTAL** Filing Date **FORM AVI ASHKENAZI** First Named Inventor OCT 2 9 2b03 (to be used for all correspondence after initial filing) Group/Art Unit 1644 . . TECH CENTER 1**6**00/2900 **Examiner Name** ROARK, JESSICA H. Total Number of Pages in This Submission **Attorney Docket Number** 39780-1618 P2C34 ENCLOSURES (check all that apply) Copy of an Assignment After Allowance Communication to Fee Transmittal Form Group Fee Attached Appeal Communication to Board of Drawing(s) Appeals and Interferences MENDMENT / RESPONSE Appeal Communication to Group Licensing-related Papers (SUPPLEMENTAL PRELIMINARY (Appeal Notice, Brief, Reply Brief) AMENDMENT) Petition Routing Slip (PTO/SB/69) **Proprietary Information** After Final and Accompanying Petition Version With Markings Showing Petition to Convert to a Status Letter Provisional Application Changes Power of Attorney, by Assignee to Affidavits/declaration(s) Additional Enclosure(s) Exclusion of Inventor Under 37 C.F.R. (please identify below): Extension of Time Request §3.71 With Revocation of Prior Powers STAMPED RETURN POSTCARD Terminal Disclaimer Information Disclosure Statement Certified Copy of Priority Document(s) Small Entity Statement Response to Missing Parts/ Incomplete Request for Refund Application Remarks Response to Missing Parts under 37 CFR 1.52 or 1.53 AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT 08-1641 FOR ANY FEES DUE IN CONNECTION WITH THIS PAPER, REFERENCING ATTORNEY'S DOCKET NO. 39780-1618 Copy of Notice P2C33 SIGNATURE OF APPLICANT. ATTORNEY OR AGENT HELLER EHRMAN WHITE & McAULIFFE LLP LESLIE A. MOOI (Reg. No. 37,047) Firm or Individual name 275 Middlefield Road, Menlo Park, California 94025 Telephone: (650) 324-7000 Facsimile: (650) 324-0638 Signature Date Customer Number: 25213 October 23, 2003 **CERTIFICATE OF EXPRESS MAILING** I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below and addressed to: MAIL STOP NON-FEE AMENDMENT, Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on this date: October 23, 2003 Express Mail Label EL 976 543 182 US C. FONG Typed or printed name C. Fora October 23, 2003 Date Signature

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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
) Examiner: Roark, Jessica H.

Avi ASHKENAZI, et al. ) Art Unit: 1644

Application Serial No. 09/902,713 ) Attorney's Docket No. 39780-1618 P2C34

Filed: July 10, 2001 ) **Customer No. 35489** 

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SUPPLEMENTAL PRELIMINARY AMENDMENT

TECH CENTER 1600/2900

**Mail Stop Non-Fee Amendment** 

Commissioner for Patents PO Box 1450 Alexandria, Virginia 22313-1450

Dear Sir:

This preliminary amendment is supplemental to the amendment filed October 16, 2003. Please consider the following arguments.

# **Priority**

In their Preliminary Amendment, Applicants provided reasons why the effective filing date of this application is February 11, 2000. The claims pending are fully entitled to claim priority to International Application PCT/US00/03565 filed February 11, 2000.

### Claim Rejections - 35 USC § 102(a)and 102(b)

1. Claims 39-43 stand rejected under 35 USC 102(b) or in the alternative under 35 USC 102(a) as being anticipated by Wood et al. (WO99/14328). This rejection is traversed for the following reasons.

When discussing this rejection in the preliminary response, Applicants incorrectly indicated the wrong effective filing date. Applicants are asserting that the claims pending in this application are entitled to the effective filing date of February 11, 2000. Wood et al., was published less than one year prior to the effective filing date of the present application. Accordingly, Wood et al is not a 35 USC 102(b) prior art reference.

Applicant's disclosure of their own work within the year before the filing date of a patent application cannot be used against Applicants. Accordingly Wood et al. is not a 35 USC 102(a) prior art reference.

2. Claim 39-43 stand rejected under 35 U.S.C. § 102(b) as being anticipated by Valenzuela et al. (WO00/11015) (published March 2, 2000) which allegedly teaches a protein that is at least 100% identical to SEQ ID NO:96.

Applicants, in discussing this rejection in the preliminary amendment, incorrectly indicated the wrong effective filing date. The claims pending in this application are entitled to the effective filing date of February 11, 2000. The cited primary reference Valenzuela et al. has a publication date of 3/2/2000 which is <u>after</u> the effective filing date (2/11/2000) of the present application. Hence, Valenzuela is not prior art under 102(b), and does not anticipate the present claims. Withdrawal of the rejection is respectfully requested.

### Claim R jections - 35 U.S.C. §103

Claims 39 and 43 stand rejected under 35 U.S.C. §103 as being unpatentable over Valenzuela et al. (published 3/2/2000) in view of Ramakrishnan et al.

Again, as discussed above, since the effective filing date of the present application is February 11, 2000, Valenzuela et al. is not prior art since its effective date is <u>after</u> the effective filing date of the present application. Ramakrishan et al. does not teach the claimed sequence. Accordingly, the present claims are not obvious over the combination of Valenzuela et al. and Ramakrishan et al. and Applicants request that this rejection be withdrawn.

The present application is believed to be in *prima facie* condition for allowance, and an early action to that effect is respectfully solicited.

Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. <u>08-1641</u> (Attorney's Docket No. <u>39780-1618 P2C34</u>). Please direct any calls in connection with this application to the undersigned at the number provided below.

Respectfully submitted.

Date: October 23, 2003

Leslie A. Mooi (Reģ. No. 37,047)

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